

EC973 U.S. PTO
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A
PATENT
mey Docket No. SAM-164

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Kim, et. al.
Filing Date: Herewith
Title: SEMICONDUCTOR DEVICE HAVING SELF-ALIGNED CONTACT
AND FABRICATING METHOD THEREFOR

CERTIFICATE OF MAILING UNDER 37 C.F.R. § 1.10

"Express Mail" Mailing Label Number EL681163405US I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated below and is addressed to BOX PATENT APPLICATION, Assistant Commissioner for Patents, Washington, DC 20231.

December 6, 2000
Date

Lizabeth M. Sumner
Lizabeth M. Sumner

U.S. PTO
09/13/00
12/06/00

BOX PATENT APPLICATION
Assistant Commissioner for Patents
Washington, DC 20231

TRANSMITTAL LETTER

Sir:

Enclosed herewith for filing in the above-identified patent application please find the following listed items:

1. New Application Transmittal;
2. New Patent Application;
3. Executed Declaration, Petition and Power of Attorney;
4. Eleven (11) Pages of Formal Drawings;
5. Certified Copy of Priority Document - Korean Application No. 99-55204
6. Check in the amount of \$710.00 to cover requisite fee;
7. Assignment Recordation Form Cover Sheet - - PTO-1595;
8. Executed Assignment;
9. Check in the amount of \$40.00 to cover assignment recordation fee; and
10. Return Postcard.

In connection with the foregoing matter, please charge any additional fees which may be due, or credit any overpayment, to Deposit Account Number 19-0079. A duplicate copy of this letter is provided for this purpose.

Respectfully submitted,

Date: December 6, 2000
Samuels, Gauthier & Stevens, LLP
225 Franklin Street, Suite 3300
Boston, MA 02110
Telephone: (617) 426-9180, Ext. 149
Facsimile: (617) 426-2275

Steven M. Mills
Steven M. Mills
Registration Number 36,610
Attorney for Applicant

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

BOX PATENT APPLICATION
Assistant Commissioner for Patents
Washington, D.C. 20231

NEW APPLICATION TRANSMITTAL

Transmitted herewith for filing is the patent application of

Inventor(s): Myeong-cheol Kim
Byeong-yun Nam
Gyung-jin Min
Tae-hyuk Ahn

For (title): SEMICONDUCTOR DEVICE
HAVING SELF-ALIGNED
CONTACT AND FABRICATING
METHOD THEREFOR

1. **Type of Application** This new application is for
a(n)

- ☒ Original (nonprovisional)
☐ Design
☐ Plant
☐ Divisional.
☐ Continuation.
☐ Continuation-in-part (C-I-P).

2. **Benefit of Prior Application(s)**

- ☒ The new application being transmitted claims the benefit of prior Korean application(s) nos.
99-55204. See item 7.

3. **Papers Enclosed**

17 Pages of specification
4 Pages of claims
1 Page of Abstract
11 Sheets of drawings
☒ formal
☐ informal
 Page of Cover Sheet

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37 C.F.R. § 1.10

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and is addressed to BOX PATENT APPLICATION, Assistant
Commissioner for Patents, Washington, DC 20231.

Date: 12/6/00 Lizbeth M Sumner
Lizbeth M. Sumner
Lizbeth M Sumner
Print Name

JC670 U.S. PTO
09/731385
12/06/00

- ☐ The enclosed drawing(s) are photograph(s), and there is also attached a "PETITION TO ACCEPT PHOTOGRAPH(S) AS DRAWING(S)." 37 C.F.R. 1.84(b).

4. Additional papers enclosed

- ☐ Preliminary Amendment
☐ Information Disclosure Statement (37 C.F.R. 1.98)
☐ Form PTO-1449 (PTO/SB/08A and 08B)
☐ Copies of cited references
☐ Declaration of Biological Deposit
☐ Submission of "Sequence Listing," computer readable copy and/or amendment pertaining thereto for biotechnology invention containing nucleotide and/or amino acid sequence.
☐ Authorization of Attorney(s) to Accept and Follow Instructions from Representative
☐ Special Comments
☒ Other: Return Postcard.

5. Declaration or oath

- ☒ Enclosed
☐ Unexecuted
☒ Executed by
☒ inventors
☐ legal representative of inventor(s).
37 CFR 1.42 or 1.43.
☐ joint inventor or person showing a proprietary interest on behalf of inventor who refused to sign or cannot be reached.
☐ This is the petition required by 37 CFR 1.47 and the statement required by 37 CFR 1.47 is also attached. See item 12 below for fee.
☐ Not Enclosed
☐ Application is made by a person authorized under 37 C.F.R. 1.41 (c) on behalf of all the above named inventor(s).
☐ Showing that the filing is authorized.

6. Assignment

- ☒ An assignment of the invention to Samsung Electronics Co., Ltd.
☒ is attached. A separate ☐ "COVER SHEET FOR ASSIGNMENT (DOCUMENT) ACCOMPANYING NEW PATENT APPLICATION" or ☒ FORM PTO 1595 is also attached. will follow.

7. Certified Copy

Certified copy(ies) of application(s)

Korea	99-55204	6 December 1999
Country	Appln. no.	Filed
Country	Appln. no.	Filed
Country	Appln. no.	Filed

from which priority is claimed

- ☒ are attached.
☐ will follow.

8. Fee Calculation (37 C.F.R. 1.16)

CLAIMS AS FILED					
	Number filed		Number Extra	Rate	Basic Fee 37 C.F.R. 1.16(a) \$710.00
Total Claims (37 CFR 1.16(c))	20	- 20 =	0	\$ 18.00	\$0
Independent Claims (37 CFR 1.16(b))	2	- 3 =	0	\$80.00	\$0
Multiple dependent claim(s), if any (37 CFR 1.16(d))			+	\$270.00	

- ☐ A Preliminary Amendment canceling claims is enclosed. The filing fee is calculated based on the number of claims remaining after entry of the Preliminary Amendment.
- ☐ Amendment deleting multiple-dependencies is enclosed.
- ☐ Fee for extra claims is not being paid at this time.

Filing Fee Calculation

\$710.00

9. Small Entity Statement(s)

☐ Verified Statement(s) that this is a filing by a small entity under 37 CFR 1.9 and 1.27 is (are) attached.

☐ Status as a small entity was claimed in prior application _____, filed on _____
from which benefit is being claimed for this application under:

35 U.S.C. ☐ 119(e),

☐ 120,

☐ 121,

☐ 365(c),

and which status as a small entity is still proper and desired.

☐ A copy of the verified statement in the prior application is included.

Filing Fee Calculation (50% of A, B or C above)

\$ _____

10. Fee Payment Being Made at This Time

☐ Not Enclosed

☐ No filing fee is to be paid at this time.
(This and the surcharge required by 37 C.F.R. 1.16(e) can be paid subsequently.)

☒ Enclosed

☒ Basic filing fee \$ 710.00

☒ Recording assignment
(\$40.00; 37 C.F.R. 1.21(h))
(See attached "COVER SHEET FOR ASSIGNMENT
ACCOMPANYING NEW APPLICATION".) \$ 40.00

Total fees enclosed \$ 750.00

11. Method of Payment of Fees

☒ Checks in the amounts of \$ 710.00, 40.00

☐ Charge Account No. 19-0079 in the amount of \$ _____
A duplicate of this transmittal is attached.

12. Authorization to Charge Additional Fees

☒ The Commissioner is hereby authorized to charge the following additional fees during the entire pendency of this application to Account No. 19-0079.

☒ 37 C.F.R. 1.16(a), (f) or (g) (filing fees)

☒ 37 C.F.R. 1.16(b), (c) and (d) (presentation of extra claims)

☐ 37 C.F.R. 1.16(e) (surcharge for filing the basic filing fee and/or declaration on a date later than the filing date of the application)

☐ 37 C.F.R. 1.17 (application processing fees)

☐ 37 C.F.R. 1.18 (issue fee at or before mailing of Notice of Allowance, pursuant to 37 C.F.R. 1.311(b))

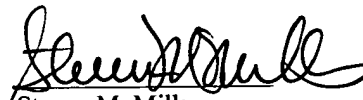
13. Instructions as to Overpayment

☒ Credit Account No. 19-0079

☐ Refund

Date: December 6, 2000
Samuels, Gauthier & Stevens, LLP
225 Franklin Street, Suite 3300
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Telephone: (617) 426-9180, Ext. 149
Facsimile: (617) 426-2275

Respectfully submitted,


Steven M. Mills
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